

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (last name, first, middle initial) Nugent, Robert E.	2. Court or Organization District of Kansas	3. Date of Report 04/18/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U. S. Bankruptcy Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2017 to 12/31/2017
7. Chambers or Office Address 104 U.S. Courthouse 401 North Market Wichita, Kansas 67202		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☐ NONE (No reportable positions.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	President	Kansas University Alumni Association Wichita Network
2.	Advisory Board Member	Wichita YMCA East Branch
3.		
4.		
5.		

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☒ NONE (No reportable agreements.)

	<u>DATE</u>	<u>PARTIES AND TERMS</u>
1.		
2.		
3.		

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III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)***A. Filer's Non-Investment Income**NONE *(No reportable non-investment income.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1.		
2.		
3.		
4.		

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.**(Dollar amount not required except for honoraria.)*NONE *(No reportable non-investment income.)*

DATE	SOURCE AND TYPE
1. 1-12/17	
2.	
3.	
4.	

IV. REIMBURSEMENTS *— transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*NONE *(No reportable reimbursements.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1. Oklahoma Bar Association	12/10/12/11/2017	Oklahoma City OK	ADvanced Bankr. Seminar	travel, meals, and lodging
2. National Conference of Bankr. Judges	10/06-10/10/2017	Las Vegas NV	NCBJ Annual Meeting	lodging
3. American Bankruptcy Institute	10/26-27/2017	Kansas City, MO	ABI Midwestern Conference	travel, meals and lodging
4. Kansas City Bankr. Bar Assoc.	1/20/2017	Kansas City, KS	Judges Roundtable	travel
5. Kansas Bar Association	4/7/2017	Lawrence, KS	KBA Bankr. Section Seminar	travel

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6.				
7.				
8.				
9.				
10.				
11.				
12.				

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.			
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*NONE *(No reportable liabilities.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.			
2.			
3.			
4.			
5.			

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

1. R/O IRA #1 (H)									
2. --Fidelity Gov't MM Daily Money Fund (R/O IRA)	A	Int./Div.	N	T					
3.									
4. --Rydex HY Strategy Bond Fd	A	Int./Div.			Sold (part)	11/09/17	J	A	
5.					Sold	11/09/17	M	D	
6.									
7. --Northern HY Fixed Inc	A	Int./Div.			Sold	11/09/17	M	C	
8.									
9. --United Development Funding IV	A	Int./Div.	J	T					
10.									
11. --Direxion HY Bull	B	Int./Div.			Sold	11/09/17	L	C	
12.									
13. --Halcon Res Corp (See Part VIII)	A	Int./Div.							
14.									
15. R/O IRA #2 (H)									
16. --Fidelity Gov't MM Daily Money Fund (R/O IRA)	A	Int./Div.	K	T					
17. --American Funds Fundamental Inv.	C	Int./Div.	L	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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18. --American Funds Growth	C	Int./Div.	K	T					
19.									
20. --AmFunds Income Fund America	C	Int./Div.	K	T					
21.									
22. Simple IRA #1 (H)									
23. --American Funds as below:									
24. --American Mutual Fund	B	Int./Div.	K	T					
25. --Fundamental Investors	B	Int./Div.	J	T	Buy (add'l)	03/06/17	J		
26.					Buy (add'l)	04/13/17	J		
27.					Buy (add'l)	07/07/17	J		
28. --Capital Income Builder	B	Int./Div.	K	T	Buy (add'l)	08/24/17	J		
29. --Growth Fund America	A	Int./Div.	J	T	Buy (add'l)	03/06/17	J		
30.					Buy (add'l)	10/12/17	J		
31.					Buy (add'l)	11/06/17	J		
32. --Capital World Growth	A	Int./Div.	J	T	Buy (add'l)	08/24/17	J		
33.					Buy (add'l)	09/18/17	J		
34.					Buy (add'l)	12/26/17	J		

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35.									
36. Emprise Bank Cash Accounts	A	Interest	J	T					
37. CrossFirst Bank Cash Accounts	B	Interest	M	T					
38. Citizens Bank Saving	A	Interest	J	T					
39. Learning Quest 529 Fund Short-term (American Century)	A	Distribution	J	T					
40. Vanguard MMA	A	Dividend	J	T					
41. Northwestern Mutual Whole Life #1	A	Dividend	K	T					
42. Northwestern Mutual Whole Life #2	A	Dividend	K	T					
43. Northwestern Mutual Whole Life #3	A	Dividend	J	T					
44. Realty LLC	G	Distribution	K	U					
45.									
46. Bulls & Bears Investment Club (H)--see Part VIII									
47. --Alphabet A	A	Int./Div.	J	T					
48. --Alphabet C	A	Int./Div.	J	T					
49. --Amazon	A	Int./Div.	J	T					
50. --Apple	A	Int./Div.	J	T	Buy	06/02/17	J		
51. --Amgen	A	Int./Div.	J	T					

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52. --Bank of America	A	Int./Div.	J	T					
53. --Cerner	A	Int./Div.			Sold	11/06/17	J		
54. --General Dynamics	A	Int./Div.	J	T					
55. --GE	A	Int./Div.			Sold	07/07/17	J		
56. --Ishares Emerg Mkt	A	Int./Div.	J	T					
57. --Northrup Grumman	A	Int./Div.	J	T					
58. --Phillips 66	A	Int./Div.	J	T					
59. --Spirit Aviation	A	Int./Div.	J	T					
60. --Union Pacific	A	Int./Div.	J	T					
61. --Williams Co	A	Int./Div.	J	T					
62.									

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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Part 7--

Line 13, Halcon restructured in bankruptcy, offered cash in lieu of reverse split dividend, accepted in amount reflected. Cash received into R/O IRA #1 9/13/16. Transaction well below reporting threshold (<\$10).

Lines 36-38: Per p. 35 of the Instructions, I have aggregated the cash accounts held in each of these three institutions.

Line 47, et seq. As reported for 2016, I am 1/60 of this investment club and was admitted on 10/15/16. I only know month of acquisition--date shown as first of applicable months is supposition only. Several assets of the Club appreciated beyond the reporting threshold during 2017 and are added to Part 7 as follows:

Line 50--Apple

Line 52--Bank of America

Line 54--General Dynamics

Line 57--Northrup Grumman

Line 59--Spirit Aviation

Line 60--Union Pacific

All of these were held by the club at the time of my entry, 10/15/16.

Please also note that Cerner, Line 53, was below the reporting threshold for 2016 and thus not included, but was sold for more than the reporting threshold on 11/7/17.

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IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: s/ Robert E. Nugent

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544